**ATTACHMENT I**

**2003 CLEAN WATER ACT RECOGNITION AWARDS**

**CATEGORY: OPERATIONS AND MAINTENANCE (O&M) EXCELLENCE**

**DISCLAIMER**

The following document provides guidance to EPA Regional and state permitting authorities as well as to municipalities, industries and the general public on how EPA intends to exercise its discretion in implementing the statutory and regulatory provisions that concern the Clean Water Act Recognition Awards. The guidance is designed to implement national policy on these issues.

The statutory provisions and EPA regulations described in this document contain legally binding requirements. This document does not substitute for those provisions or regulations, nor is it a regulation itself. Thus, it does not impose legally binding requirements on EPA, states, or the regulated community, and may not apply to a particular situation based upon the circumstances. EPA and state decision makers retain the discretion to adopt approaches on a case-by-case basis that differ from this guidance where appropriate. Any decisions regarding a particular facility will be made based on the statute and regulations. Therefore, interested parties are free to raise questions and objections about the substance of this guidance and the appropriateness of the application of this guidance to a particular situation. EPA will, and states should, consider whether or not the recommendations or interpretations in the guidance are appropriate in that situation. Where interested parties may disagree, EPA regions, states and headquarters should come to an agreement on how the guidance would be applied in those situations. This guidance is a living document and may be revised periodically without public notice. EPA welcomes public comments on this document at any time and will consider those comments in any future revision of this guidance document.

Office of Wastewater Management
http://www.epa.gov/owm/intnet.htm

**February 2003**

**2003 Clean Water Act Recognition Awards**
**Category: Operations and Maintenance (O&M) Excellence Awards Manager's Guidance**

# INSTRUCTIONS FOR STATE/REGIONAL O&M AWARDS MANAGERS

## INTRODUCTION

Clean Water Act (CWA) Section 501(e) and 40 Code of Federal Regulations (CFR) Part 105, establishes general requirements for the administration of the Environmental Protection Agency's (EPA) Clean Water Act Recognition Awards Program. This attachment provides specific application/nomination instructions, questionnaires and forms for the Operations and Maintenance (O&M) Excellence category of the awards program. The objectives of the awards program are to inform the public about the contributions wastewater treatment plants make to clean water, to encourage public support for effective O&M, sewer use, and user charge systems; and, to recognize communities that continue to meet permit requirements for outstanding O&M practices. These awards are presented in nine sub-categories designated by a plant's treatment capacity. The Most Improved Plant (MIP) which demonstrates the effectiveness of the CWA Section 104(g)(1) program is also recognized.

O&M is one of five awards categories currently managed under the Clean Water Act Recognition Awards (formerly National Wastewater Management Excellence Awards). Awards are also presented for Biosolids Exemplary Management, Pretreatment Excellence, Outstanding Storm Water Management, and Combined Sewer Overflow Control Program Excellence.

In an effort to simplify the O&M awards application process, applicants are required to address only three O&M topics. Application packages are limited to 20 pages. Regional nominations for the national award are due to headquarters by **Friday, May 30, 2003.**

Interested parties may access these Instructions, Questionnaire Format, and forms via the internet at http://www.epa.gov/owm/intnet.htm. Contact information for EPA's regional O&M awards program managers is included. Also, Appendix A of this document is a compilation of previous national winners of EPA's Clean Water Act Recognition Awards, 1986-2002.

## STATE NOMINATION REVIEW PROCEDURES

The state O&M award managers are strongly encouraged to develop a state O&M award procedure which provides public recognition for state nominees/winners and is consistent with the regional/national awards program. States are encouraged to widely publicize this awards program and to request applications from appropriate facilities. In their nomination process, states should equally consider facilities which have applied without state encouragement as facilities which have applied as the result of encouragement by the state or professional trade organizations.

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States are encouraged to solicit applicants for each of the regional award sub-categories based on state O&M award procedures which should be consistent with EPA guidelines. Applicants should be solicited from Water Environment Federation (WEF) local associations, state and federal wastewater facilities including U.S. military commands, Environmental Training Centers, and other appropriate institutions and professional groups.

States should ensure that their regional O&M award nominees meet the minimum criteria to be a regional winner. The state must verify the category and the acceptability of the applicant's compliance record before nominating the applicant for a regional award. Each nomination should be accompanied by a completed questionnaire and supporting forms.

## EPA REGIONAL NOMINATION PROCEDURES

Regions are encouraged to select regional O&M award winners in the MIP sub-category, the Non-Discharging sub-categories, and the sized based, treatment level categories. MIP nominations demonstrate the effectiveness of the CWA Section 104(g)(1) program and applications are encouraged from all Regions. Regions may nominate one candidate per national O&M Awards sub-category.

Regions should use an appropriate regional process in selecting their national nominees. We strongly encourage that regions solicit state wastewater regulatory agencies, Water Environment Federation local associations, Native American Tribal Nations, state and federal wastewater facilities, U.S military commands, Environmental Training Centers, and other appropriate institutions and professional groups for program candidates.

Regions should ensure that nominations forwarded to headquarters (HQ) are currently in compliance with all EPA and state environmental permits and administrative orders (air, wastewater, biosolids, groundwater, storm water, combined sewer overflow, separate sanitary sewer and overflows, etc); have demonstrated outstanding or innovative O&M practices; are nominated in the appropriate sub-category; have completed the questionnaire and forms; and have included captioned photographic prints and essential National Pollutant Discharge Elimination System (NPDES) information.

Regions are responsible for forwarding the nomination package, for receipt by ***Friday, May 30 2003,*** to:

Maria E. Campbell, O&M Awards Program Manager
U.S. Environmental Protection Agency, EPA East
Office of Wastewater Management, (Mail Code 4204-M)
1200 Pennsylvania Avenue, NW
Washington, D.C. 20460

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## HQ AWARD SELECTION PROCEDURES

A national nominating committee will convene soon after the nomination deadline receipt date. Committee members will be selected from lists prepared by EPA, WEF, the Association of State and Interstate Water Pollution Control Administrators (ASIWPCA) and other groups. Committee members will consider: demonstrated evidence of and achievements resulting from innovative and outstanding O&M programs and management, continual high levels of effluent compliance, cost and safety improvements, and the apparent difficulty to operating the plant.

EPA will complete an environmental compliance review and verify program eligibility. The panel will recommend national first and second place winners for each of the O&M sub-categories. Winners will be invited to attend the awards ceremony on Monday, October 13, 2003, at the WEF Technical Exposition and Conference in Los Angeles, California.

Following is a schedule of activities for planning and implementing EPA's 2003 national O&M Awards Program.

| | Activity | Completion Framework |
|---|---|---|
| o | Headquarters issues O&M Excellence Awards guidance. | Jan/Feb 2003 |
| o | Regional offices (ROs) forward guidance to States and Tribes, and request their participation in the awards process. | Jan/Feb 2003 |
| o | Applicants submit application packages to states and Tribes. | March 2003 |
| o | States and Tribes make nominations and submit nominees' background information to ROs. | April 2003 |
| o | ROs review applications and make recommendations to HQ for national awards. | May 2003 |
| o | Deadline date for national nominee submission to Headquarters. | May 30, 2003 |
| o | National selection panel reviews all nominations and recommends national winners. | June/July 2003 |

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| | | |
|---|---|---|
| o | AA for OW notifies Regional Administrator, Congress, et al that O&M and other CWA Recognition Awards winners will be invited to attend presentation ceremony. | August 2003 |
| o | Assistant Administrator and OWM Office Director recognize national awardees at WEF Conference. | Oct. 13, 2003 |

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## MANAGER'S APPLICATION CHECKLIST FORM

Plant Name_____

**(Must Be Consistent with the Applicant's NPDES Permit.)**

## I. APPLICATION REVIEW

_____ Parts I through VII of Questionnaire are completed in full and included in the package.

_____ Parts VIII and IX of Questionnaire (narratives) are included in the package. No more than three topics should be submitted.

_____ If applying for the Most Improved Plant Category, Part IX for the trainer's narrative and Part X are completed in full.

_____ Plant Compliance Forms (two years) are completed and included in the package.

_____ Cash Flow Summary Form is completed and included in the package.

_____ Plant Layout is completed with a sketch and written description of the existing plant treatment process and is included in the package.

_____ Service Area Layout is completed and included in the package.

_____ Captioned photographic prints as specified are included in the package.

_____ Essential NPDES permit information is included in the package.

## II. NOMINATION REVIEW

_____ Manager's Nomination Form and Application Checklist are completed and included in the applicant's package.

Describe any unusual, complex, challenging, man-made, or natural event of the last five years that the applicant overcame, or cost savings achieved that supports this nomination of an outstanding, unique or innovative plant.

_____
_____
_____
_____

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## MANAGER'S NOMINATION FORM

## I. CATEGORY AND COMPLIANCE CERTIFICATION

A. Plant Name_____
**(Should Be Consistent with the Applicant's NPDES Permit)**

B. Region_____/State_____

C. Approved Nomination Category _____
**(Based on average design flow/treatment level)**

**(MUST BE CONSISTENT WITH NPDES PERMIT LIMITS AND FLOW)**

D. EPA Awards Manager certifying nomination category

_____
Signature / Date

E. EPA Awards Manager certifying compliance record

_____
Signature / Date

## II. POLITICAL NOTIFICATION

A. Plant's US Senators and Representatives Names and Addresses:
_____

_____

B. State Governor's Name and Address: _____
_____

## III. MANAGEMENT NOTIFICATION

A. EPA Regional O&M Awards Manager Name/Address/Phone/Fax
_____

B. State O&M Awards Manager Name/Address/Phone/Fax
_____

# INSTRUCTIONS, QUESTIONNAIRE FORMAT, AND FORMS FOR OPERATIONS AND MAINTENANCE (O&M) AWARDS APPLICANTS

## Application Procedures

Facilities may submit Operations and Maintenance (O&M) Awards applications on their own initiative or may have been encouraged to submit an application by the State or a professional trade organization. All O&M Awards applications, nevertheless, must be reviewed by the State O&M manager, the designated State regulatory agency, or Tribal authority, as appropriate, and the data verified prior to its submission to an EPA regional office.

Although the state and region may require sufficient backup data for their respective reviews, national nomination packages should be no more than 20 pages and should not contain extraneous and voluminous supporting data. Essential data should be described within the questionnaire and narratives. Supporting data such as computer printouts which demonstrate unique or innovative procedure should be appropriately summarized. The completed application package must include:

1. The completed questionnaire and narratives which include:
   - Parts I through VII,
   - Narratives for Parts VIII and IX, and
   - if applying for the Most Improved Plant category, Part X and its narrative.

2. The Cash Flow Summary Form. Applicant should:
   - Exclude depreciation
   - Include all utility-related accounting funds (Operations, Replacement, Bond & Interest, Construction, etc.)
   - Use Financial Management System For POTWS, USEPA 430/9-84-005, June 1984 as an accounting guide.

3. The Plant Layout Sketch with a written description of the existing plant treatment processes, the Plant Compliance Form, and the Service Area Layout Sketch.

4. Copies of the essential NPDES and environmental permits which relate to the plant's effluent limits and operation which includes the State's authorization letter, the conventional (pH, BOD, TSS, O&G, Fecal Coliform) limitations, any advanced treatment limitations, and any unusual discharge constraints.

5. Up-to-date photographs of the plant's staff demonstrating the innovative and outstanding O&M practices. Photographic prints could be used in EPA and Water Environment Federation (WEF) publications. Negatives and/or CD's should be included. Brochures, laminations, photocopies, or slides are not usable.

**2003 Clean Water Act Recognition Awards**
**Category: Operations and Maintenance Excellence Awards Applicant's Instructions, Format and Forms**

## Evaluation Criteria

EPA regional and national nominating committees will consider: demonstrated evidence of and achievements resulting from innovative and outstanding O&M programs and management, continuing high levels of effluent compliance, cost saving techniques, environmental benefits, and the apparent difficulty to operating and maintaining the plant.

Most Improved Plant (MIP) reviews will also consider: demonstrated improvements in effluent quality and overall operation and maintenance; the complexity of the problems and obstacles overcome in reaching compliance goals; the apparent foundation for long-term, sustained permit compliance; and the timely achievements of the improvements. The plant should currently be in compliance with water quality requirements.

## Eligibility Criteria

Facilities and States are asked to the submittal deadlines of the national and regional O&M Award schedules to be assured of national consideration. Any publicly-owned wastewater treatment facility is eligible to be considered under the national O&M Awards Program, including Native American Tribal facilities. Other criteria are:

1. The Awards category eligibility will be based on average design capacity and treatment level. The plant should have been in operation at the same treatment level and design capacity for at least two years as covered in the two calendar years of data reported in the compliance section.

2. Within the last three years, the plant should not have been upgraded to meet secondary or advanced limits nor have gone through an expansion which exceeded the January 1, 2000 average design capacity by 50%.

3. A wait period for previous national O&M winners are as follows: First place - no O&M award within the last five years. Second place - no O&M award within the last three years. Appendix A includes a list of previous national O&M awards winners, 1986-2002.

4. To qualify for the MIP category, the plant must have an average design capacity of less than 5.0 mgd and be able to demonstrate that improvements resulted from a state or federally managed on-site technical assistance program, specifically the EPA Section 104(g)(1) On-site Assistance Program for small communities.

5. To qualify for the non-discharging plant category, the plant cannot have an NPDES permit, except if there is a no discharge permit, but can have state-specific and technology-specific limits for non-surface water related discharges. Plants with intermittent or seasonal discharges, however, are eligible to be considered for other awards categories.

**Awards Category Eligibility**

| Category | 1.0 mgd or less | 1.1 to 10.0 mgd | 10.1 mgd or more |
|---|---|---|---|
| Secondary Treatment Plant | Small (S-S) | Medium (M-S) | Large (L-S) |
| Advanced Treatment Plant | Small (S-A) | Medium (M-A) | Large (L-A) |
| Non-Discharging Plant | Small (S-ND) | Large (L-ND) | Large (L-ND) |
| Most Improved Treatment Plant (MIP) | Eligible if less than 5.0 mgd | | Not eligible |

A plant should be included in the secondary treatment plant category if the plant's effluent is designed and permitted (30 day average) to release up to 30 milligram per liter (mg/l) of both 5 day-biochemical oxygen demand (BOD5) and total suspended solids (TSS) to the surface waters, and as a minimum, remove 85% of the BOD5 and TSS from the influent. This definition, however, may not apply in some states (and plants are still eligible) that allow higher TSS limits when lagoons or trickling filters are used to provide secondary treatment, in a few states where EPA and states have agreed to a more stringent definition of secondary treatment, or where a plant has been granted a 301(h) waiver. A plant is not considered a secondary treatment plant when the effluent requirements include any of the conditions that meet the definition of advanced treatment as listed in the following paragraph.

A plant should be included in the advanced treatment plant category if the plant's effluent is designed and permitted (30 day average) to meet any one of the following conditions: a) release less than 30 milligram per liter (mg/l) of both 5 day-biochemical oxygen demand (BOD5) and total suspended solids (TSS) to the surface waters, and as a minimum remove 85% of the BOD5 and TSS from the influent, or (b) remove ammonia, nitrogen, or phosphorus, or (c) provide additional treatment after a secondary process using coagulation and filtration. A plant

should be considered advanced even if advanced treatment applies only on a seasonal or periodic basis.

**Recommended O&M Topics**

The topics and questions below should be considered when responding to Part VIII - "Summary of Award Justification", and Part IX - "Outstanding and Innovative O&M Practices" of the questionnaire. The applicant should enclose a one page, composite narrative as documentation in response to Part VIII and at least three topics of narratives, of no more than two pages each, as documentation in response to Part IX.

- Automation: Why did the plant seek O&M improvements through automation? Describe any innovative, outstanding and unique automation practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the automation systems, the software and record keeping that the plant took to improve overall operating efficiencies and management.

- Biosolids Management: Why did the plant seek O&M improvements through biosolids management? Describe any innovative, outstanding and unique biosolids management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the plant's short term and long term approach to managing biosolids.

- Collection System Controls: Why did the plant seek O&M improvements through collection system controls? Describe any innovative, outstanding and unique collection system control practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to controlling infiltration and inflow, combined sewer overflows (CSOs) and separate sewer overflows, and how this has affected plant performance and the surface waters; the before and after rainfalls and maximum flows to combined sewer outfalls and separate sanitary sewers; the before and after flows caused by infiltration/inflows; and the before and after percent (round to 10s of percent) of the system's sewer collection laterals which are affected by combined sewers or by excessive Infiltration/Inflow (I/I).

- Collection System Maintenance Management: Why did the plant seek O&M improvements through collection system maintenance? Describe any innovative, outstanding and unique collection system maintenance practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally describe: the plant's program for pipe reliability, and maintenance and repairs. Provide data on the

average age of the sewers and how your program has affected the number of sewer breaks and stoppages.

- Equipment Maintenance Management: Why did the plant seek O&M improvements through equipment maintenance management? Describe any innovative, outstanding and unique equipment maintenance practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach and the significant program features to long term equipment reliability and effective maintenance/repair management.

- Financial Management: Why did the plant seek O&M improvements through financial management? Describe any innovative, outstanding and unique financial management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to financial management and collections to ensure emergency and planned funding of O&M expenses.

- Laboratory Management: Why did the plant seek O&M improvements through laboratory management? Describe any innovative, outstanding and unique laboratory management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the improvements that have been made in your laboratory management which enhance plant operations, process control, field monitoring, and permit reporting.

- Most Improved Plant Nominees (Only): Describe your improved O&M practices; and cost, labor, material, environmental, or time savings derived from such practices. Describe before and after improvements in: compliance record, staff skills and achievements, and process control and monitoring. Also explain how Section 104(g) on-site technical assistance contributed to the plant's improvement.

- Non-discharging Plant Category Nominees (Only): Describe any innovative, outstanding and unique O&M practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the management initiatives which have been implemented to ensure that plant effluent does not have a negative impact on groundwater, air quality, human health, agriculture products, livestock, etc; and the management approaches to handle unusual periods of inclement weather. **Note: The plant must not discharge to surface waters at any time or season (zero discharge).**

- O&M Reviews and Best Management Practices (BMP): Why did the plant seek O&M improvements through BMPs? Describe any innovative, outstanding and unique BMPs; and cost, labor, material, environmental, or time savings derived from such practices.

Additionally, describe the in-house, contractual, and state activities which were implemented at the plant to mitigate impacts from O&M on the groundwater, odor, CSOs, storm water, health, etc.

- Plant Staffing and Training: Why did the plant seek O&M improvements through plant staffing and training? Describe any innovative, outstanding and unique plant staffing and training practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to personnel staffing and training programs and how it has contributed to long term compliance; the plant's approach to assessing staffing needs; the managerial, contractual, hiring, and budgetary controls which ensure that imminent, emergency and staffing shortfalls are timely resolved; and the number of: certified operators, municipal and contract staff, operators working each shift, staff working almost exclusively on: (a) equipment maintenance, (b) in the laboratory, and (c) on sewer repair and cleaning.

- Pollution Prevention: Why did the plant seek O&M improvements through pollution prevention? Describe any innovative, outstanding and unique pollution prevention practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe any self-audits and plant studies to: conserve energy and water use, recycle plant material, and reduce key point and non-point source pollutants at the wastewater treatment plant, as well as, conserve water use and prevent pollutants in the community.

- Process Control and Field Monitoring: Why did the plant seek O&M improvements through process control and monitoring? Describe any innovative, outstanding and unique process control and field monitoring practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: before and after improvements in your compliance record; the process (i.e. D.O., MLSS, etc.) and permit monitoring which is done in-house and under contract; the operational control and process modification improvements; the influent, effluent, groundwater, etc. monitoring programs and their use in evaluating and modifying management practices; and the software, computers and other automation systems which improve operational control and monitoring.

- Public Education: Why did the plant seek O&M improvements through public education? Describe any innovative, outstanding and unique public education practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the approach that the plant took to involve the general public and public officials in the management of your facility, and the public education or community service activities sponsored by your facility.

- Safety Education: Why did the plant seek O&M improvements through safety education? Describe any innovative, outstanding and unique plant safety education practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the improvements to and effectiveness of the safety program considering the number of lost-time injuries, and the current number and most days without an accident.

- Septage Management: Why did the plant seek O&M improvements through septage management? Describe any innovative, outstanding and unique septic tank management practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe the plant's short term and long term approach to managing septage.

- Storm Water Controls: How did the municipality seek O&M improvements through storm water controls, either on a voluntary basis or in response to regulatory or statutory requirements? Describe how the municipality implemented an innovative storm water control program or project to control a new problem or a new approach, such as a watershed approach, to reducing or eliminating storm water discharges. Provide documented environmental benefits, i.e, reopening of shellfish beds, reduced beach closings, and attainment of water quality standards. Additionally, describe the cost, labor, material, environmental, or time savings derived from such practices.

- Toxic Waste Controls: Why did the plant seek O&M improvements through toxic waste control? Describe any innovative, outstanding and unique toxic waste control practices; and cost, labor, material, environmental, or time savings derived from such practices. Additionally, describe: the plant's approach to controlling industrial dischargers; pretreatment, and achieving an efficient waste management program for your community and the environment; the practices which mitigate and ensure biosolids loadings and toxics minimally impact operations, biosolids management, plant safety, or the environment; and the practices which identify and enforce against illegal septic tank dumping, toxic midnight dumpings, and household hazardous wastes dumpings.

**2003 Clean Water Act Recognition Awards**
**Category: Operations and Maintenance Excellence Awards Applicant's Instructions, Format and Forms**

For more information on the U.S. National and Regional Operations and Maintenance Excellence Awards program contact your State water pollution control agency, the U.S. EPA offices or WEF at the following locations:

**Region 1**
Office of Ecosystem Protection, (MC-CMU)
JFK Federal Building, One Congress Street
Boston MA 02114
617-918-1764

**Region 2**
Division of Environmental Planning
and Protection
290 Broadway
New York, NY 10007-1866
(212) 637-3836

**Region 3**
Water Management Division
1650 Arch Street
Philadelphia, PA 19103-2029
(215) 814-5788

**Region 4**
Water Management Division
61 Forsyth Street
Atlanta, GA 30303-3104
(404) 562-9280, Ext. 29248

**Region 5**
Environmental Services Division
77 West Jackson Boulevard
Chicago, IL 60604-3507
(312) 353-5784

**Region 6**
Water Quality Protection Division
Fountain Place, 12th Floor, Suite 1200
1445 Ross Avenue
Dallas, TX 75202-2733
(214) 655-6525

**Region 7**
Water, Wetlands & Pesticides Division
901 N. 5th Street
Kansas City, KS 66101
(913) 551-7453

**Region 8**
Office of Partnerships and Regulatory Asst.
999 18th Street, Suite 500
Denver, CO 80202-2466
(303) 312-6280

**Region 9**
Water Division
75 Hawthorne Street
San Francisco, CA 94105
(415) 972-3491

**Region 10**
Office of Water
1200 Sixth Avenue
Seattle, WA 98101
(206) 553-8575

**Headquarters**
Office of Wastewater Management
Municipal Assistance Branch
1200 Pennsylvania Avenue, NW (4204-M)
Washington, D.C, 20460
(202) 564-0628

**Water Environment Federation (WEF)**
Attn: Technical Services
601 Wythe Street
Alexandria, VA 22314
(703) 684-2400

OMB-Control # 2040-0101
Expires: February 29, 2004

# COVER SHEET

# QUESTIONNAIRE FORMAT
# for the
# OPERATIONS AND MAINTENANCE
# category of the
# CLEAN WATER ACT RECOGNITION AWARDS PROGRAM

Interested respondents may express their concerns regarding this questionnaire. The respondents' burden for this collection of information is estimated to average 8 hours per response. The collection burden includes the time for the respondent to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the collection of information. The states' burden is estimated to average 6 hours to review the responses.

Send comments regarding this burden estimate or any other aspect of this collection of information including suggestions for reducing the burden: to Director, Office of Environmental Information (2812A ), US Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, DC 20460; and to Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

**2003 Clean Water Act Recognition Awards**
**Category: Operations and Maintenance Excellence Awards Applicant's Instructions, Format and Forms**

OMB Control # 2040-0101

## QUESTIONNAIRE FORMAT

### I. AWARD CATEGORY

A. Proposed award category _____

B. Previous national O&M winner? No__ Yes__What year? ____ What place?____

### II. FACILITY IDENTIFICATION **The name as it is provided below will be engraved on the plaque of the winning facility.**

A. Official name of plant (name must be consistent with the NPDES permit)

_____

B. Location of plant (Municipality/State)*****

_____

C. Name and type of public ownership

_____

### III. AWARD NOTIFICATION

A. Elected Administrator (i.e. Mayor, Authority Board President)

Name _____

Organizational Title _____

Organizational Address_____

B. Application Contact

Name/Title_____

_____

Address/Telephone (w)_____(fax)_____

## IV. ENVIRONMENTAL LIMITS

A. # of reportable NPDES violations
1/2001 - 12/2001 _____ 1/2002- 12/2002 _____

B. Date of last reportable NPDES violation _____

C. Explain any reportable NPDES violations of 1/01 to 12/02 (i.e. date, type, and causes of reporting/ effluent violation; plant's action to resolve violations)
_____
_____
_____

D. ATTACH NPDES/Biosolids permit which indicates the operating constraints of the plant. (See applicant's instructions.) As appropriate, non-dischargers may substitute ground water permits.

E. Complete and ATTACH the included Plant Compliance Forms (one for each calendar year). As appropriate, similar forms should be devised for biosolids and ground water discharge data.

## V. PLANT FLOWS (Note: Report B. as the 4 hour maximum yearly flow and Report C. through E. as the 2002 average monthly composite)

A. Design Flow (DF) _____ mgd

B. 2002 Peak Flow _____ mgd _____ % of DF

C. 2002 Average Flow (AF) _____ mgd _____ % of DF

D. 2002 Industrial Flow _____ mgd _____ % of AF

E. 2002 Week-end Flow _____ mgd _____% of AF

F. What is the estimated population and size of the plant's service area?
_____ people

_____ square miles

## VI. FINANCING

A. List (or highlight an attachment) user charge fees and describe the flow/pollutant based criteria for charging households, industries, commercial, septage, etc. Estimate the number of households, small/large industries, etc. in each category.

_____
_____
_____

B. Complete and ATTACH at the end of this questionnaire, the Cash Flow Summary Form using the plant's most recent and complete fiscal year. Estimates are acceptable.

## VII. INFRASTRUCTURE

A. If known, provide the plant's original design flow _____ mgd, level of treatment_____, and year that operations were initiated _____ .

B. Provide the year and description of any significant plant and sewer upgrades and expansions.

_____
_____
_____

C. Complete and ATTACH at the end of this questionnaire, a Plant's Layout sketch using Block Diagrams to identify the plant's liquid waste and biosolids unit processes. Include a written description of the existing plant treatment processes.

D. Complete and ATTACH at the end of this questionnaire, a Service Area Layout sketch. The conceptual sketch need not be dimensionally correct nor accurately scaled but should depict and identify:

- the sewered and also the unsewered communities which discharge septage to the plant,
- major industrial plants and industrial parks,
- the wastewater treatment plant,
- separate and combined sewer outfalls,
- the points of the plant's effluent discharges,
- the approximate location and routes of the principle river of the drainage basin, and
- effluent and biosolids land application areas.

E. Complete the following questions regarding management of Separate Sanitary Sewers (SSSs) and Infiltration/Inflow (I/I) for your treatment plant: If your treatment plant authority has a separate department or other entity responsible for SSSs and I/I problems, please attempt to have them provide the information.

1. Budget for SSS inspection/cleaning: $____

2. Budget for SSS maintenance/repair: $____

3. Approximate length of collection system:_____
Approximate age of the collection system:_____ % less than 10 years old, _____% between 10 and 35 years old, _____% greater than 35 years old.

4. Number of full time SSS maintenance, inspection, cleaning, and repair staff: _____

5. Is there a sewer use/grease trap ordinance in place?

6. What percentage of the SSSs are inspected each year?

7. What percentage of the SSSs are cleaned each year?

8. How frequently has your collection system experienced overflows or bypasses in the last two years?

9. BOD5 concentration in the influent (monthly):
a. Dry (average) weather: BOD5 _____ mg/l
b. Wet (average) weather: BOD5 _____ mg/1
c. Peak wet weather month: BOD5 _____ mg/1

10. What actions has the treatment system authority taken to control Separate Sanitary Sewer Overflows (SSOs), bypasses, I/I, and severe sulfide corrosion? Please include approximate percentage reductions in each problem area documented as a result of the corrective actions.

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Using guidance found on pages 9 through 12 of the Applicant's Section of the Guidance, "Recommended O&M Topics," prepare narratives for Parts VIII and IX. When submitting the application, substitute the narratives of Part VIII and Part IX for this sheet.

## VIII. O&M TOPICS - SUMMARY of AWARD JUSTIFICATION NARRATIVE

The applicant is encouraged to include a one page or less narrative which summarizes the plant's outstanding, unique and innovative O&M practices. The applicant should explain the plant's most significant O&M practices, and the chemical/operational/maintenance/ financial savings implemented which contributed to the plant's outstanding and unique performance.

Include at least three, up-to-date color or black and white photographic prints which depict these O&M practices. Include captions with photographic prints. Do not submit brochures, laminations, photocopies, slides or digital photographs.

A Most Improved Plant nominee may confine the narrative to describing how the Section 104(g) on-site technical assistance contributed to the plant's improvement; and what chemical/operational savings, cost-effective practices, or technical/financial/staffing improvements resulted from the on-site technical assistance.

## IX. O&M TOPICS - OUTSTANDING/INNOVATIVE O&M PRACTICE NARRATIVE

The applicant should provide narratives on at least three key O&M topics. Each narrative should be two pages or less.

The applicant must explain in the narrative the outstanding, unique and innovative O&M practices which have contributed to the plant's success. See pages 4 through 7 of the Applicant's Guidance for Recommended O&M Topics.

Most Improved Plant category applicants and Non-Discharging category applicants may confine their narratives to their individually recommended topics. An applicant, however, who can demonstrate additional outstanding and innovative practices in the other O&M Topics will receive additional consideration.

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**X.** **ONLY FOR MOST IMPROVED PLANT CATEGORY NOMINEE**. This part should be completed by the trainer. The operator should review and approve the information before including it in the application. **The name as it is provided below will be engraved on the trainer's plaque for the winning Section 104(g) plant.**

A. 104(g) Personnel Information

1. Name of Primary Section 104(g) Trainer

_____

2. Organizational Title

_____

3. Work Address

_____

4. Telephone No. (w)_____(fax)_____

B. Project Information

1. Dates Section 104(g) assistance initiated and ended

_____ to _____

2. Approximate on-site person-days spent by trainer

_____

C. **ATTACH** the trainer's narrative of two pages or less which explains the approach to: identify the candidate, develop the diagnostic evaluation, identify the problem, involve the public official, and to train the operator. The trainers should also explain the assistance program (i.e., financial management, public utility management, O&M management) that was developed, the on-site assistance successes and obstacles, the accomplishments, and the unique approaches to overcome unusual or especially difficult obstacles.

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**Plant Compliance Form I**

**PLANT NAME: _____ NPDES PERMIT NO: _____**

**Chief Plant Operator: _____**

**Report Parameters as Composite Monthly (except where noted)**

| YEAR: **2001** | FLOW (MGD) OUT | BOD IN (ppm) | BOD OUT (ppm) | TSS IN (ppm) | TSS OUT (ppm) | O&G OUT (ppm) | pH OUT (SU) | Fecal Coliform OUT (#/100ml) |
|---|---|---|---|---|---|---|---|---|
| NPDES PERMIT LIMITS | | | | | | | | |
| JAN. | | | | | | | | |
| FEB. | | | | | | | | |
| MAR. | | | | | | | | |
| APR. | | | | | | | | |
| MAY | | | | | | | | |
| JUN. | | | | | | | | |
| JUL. | | | | | | | | |
| AUG. | | | | | | | | |
| SEP. | | | | | | | | |
| OCT. | | | | | | | | |
| NOV. | | | | | | | | |
| DEC. | | | | | | | | |
| YEARLY AVE. | | | | | | | **XXXX XXXX** | |
| YEARLY MAX. | | | | | | | | |
| YEARLY MIN. | | | | | | | | |

* Attach additional pages, if necessary, for other parameters.
(1 ppm is equivalent to 1 mg/l)

**Plant Compliance Form I**

**PLANT NAME:** _____ **NPDES PERMIT NO:** _____
**Chief Plant Operator:** _____

**Report Parameters as Composite Monthly (except where noted)**

| YEAR: **2001** | NH3-N Out (ppm) | PO4-P Out (ppm) | | | | | | |
|---|---|---|---|---|---|---|---|---|
| NPDES PERMIT LIMITS | | | | | | | | |
| JAN. | | | | | | | | |
| FEB. | | | | | | | | |
| MAR. | | | | | | | | |
| APR. | | | | | | | | |
| MAY | | | | | | | | |
| JUN. | | | | | | | | |
| JUL. | | | | | | | | |
| AUG. | | | | | | | | |
| SEP. | | | | | | | | |
| OCT. | | | | | | | | |
| NOV. | | | | | | | | |
| DEC. | | | | | | | | |
| YEARLY AVE. | | | | | | | | |
| YEARLY MAX. | | | | | | | | |
| YEARLY MIN. | | | | | | | | |

* Attach additional pages, if necessary, for other parameters.
(1 ppm is equivalent to 1 mg/l)

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**Plant Compliance Form II**

**PLANT NAME:** _____ **NPDES PERMIT NO:** _____
**Chief Plant Operator:** _____

**Report Parameters as Composite Monthly (except where noted)**

| YEAR: **2002** | FLOW (MGD) OUT | BOD IN (ppm) | BOD OUT (ppm) | TSS IN (ppm) | TSS OUT (ppm) | O&G OUT (ppm) | pH OUT (SU) | Fecal Coliform OUT (#/100ml) |
|---|---|---|---|---|---|---|---|---|
| NPDES PERMIT LIMITS | | | | | | | | |
| JAN. | | | | | | | | |
| FEB. | | | | | | | | |
| MAR. | | | | | | | | |
| APR. | | | | | | | | |
| MAY | | | | | | | | |
| JUN. | | | | | | | | |
| JUL. | | | | | | | | |
| AUG. | | | | | | | | |
| SEP. | | | | | | | | |
| OCT. | | | | | | | | |
| NOV. | | | | | | | | |
| DEC. | | | | | | | | |
| YEARLY AVE. | | | | | | | **XXXX XXXX** | |
| YEARLY MAX. | | | | | | | | |
| YEARLY MIN. | | | | | | | | |

* Attach additional pages, if necessary, for other parameters.
(1 ppm is equivalent to 1 mg/l)

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**Plant Compliance Form II**

**PLANT NAME: _____ NPDES PERMIT NO: _____**
**Chief Plant Operator: _____**

**Report Parameters as Composite Monthly (except where noted)**

| YEAR: **2002** | NH3-N Out (ppm) | PO4-P Out (ppm) | | | | | | |
|---|---|---|---|---|---|---|---|---|
| NPDES PERMIT LIMITS | | | | | | | | |
| JAN. | | | | | | | | |
| FEB. | | | | | | | | |
| MAR. | | | | | | | | |
| APR. | | | | | | | | |
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| NOV. | | | | | | | | |
| DEC. | | | | | | | | |
| YEARLY AVE. | | | | | | | | |
| YEARLY MAX. | | | | | | | | |
| YEARLY MIN. | | | | | | | | |

* Attach additional pages, if necessary, for other parameters.
(1 ppm is equivalent to 1 mg/l)

## Cash Flow Summary Form ( / /2002 - / /2002)

**WASTEWATER ENTERPRISE FUNDS**

**BALANCE BEGINNING OF YEAR** _____

**REVENUES**

User Service Charges (OM&R and Capital) _____

Overstrength Waste Surcharges _____

Hookup/Impact/Other Service Fees _____

Taxes/Special Assessments _____

Interest Earnings (On Cash & Securities) _____

Fines/Penalties _____

Other Revenues (Bond Issuances, Discounts, Refundings, etc.) _____

**TOTAL REVENUES** _____

**EXPENSES**

Administration/Travel/Training _____

Wages/Benefits _____

Contracts Operation Services _____

Electricity/Utilities/Fuel _____

Treatment Chemicals _____
Equipment Replacement/Parts _____

Purchased Materials/Supplies/ _____
Maintenance and Repair Services

Other Expenses (Insurance, Legal, Consultants) _____

Debt Principle and Interest Payments _____

Other Payments (Capital Leases, etc.) _____

Capital Construction Outlays _____

Future Construction Utility Transfer Reserves _____
(Replacement, Bond & Interest, etc.)

**TOTAL EXPENSES** _____

TRANSFERS OUT (to general fund etc.) _____

WASTEWATER ENTERPRISE FUNDS
BALANCE END OF YEAR _____

## Service Area Layout

_____ Treatment Plant

## Plant Layout

_____ Treatment Plant

**2003 Clean Water Act Recognition Awards**
**Category: Operations and Maintenance Questionnaire Format and Forms**